



**Solar Rating & Certification
Corporation**

500 New Jersey Avenue, NW
Sixth Floor
Washington, DC 20001
t: 888.ICC.SAFE (422.7233)
t: 202.370.1800
f: 202.783.2348
www.solar-rating.org

ICC-SRCC™ Inspection Provider Program Policy

February 21, 2017

© 2017 Solar Rating & Certification Corporation™.

All Rights Reserved. This document is the exclusive property of the Solar Rating & Certification Corporation, and may not be distributed or reproduced in any form.

©2017 Solar Rating & Certification Corp™

*ICC-SRCC™ Inspection Provider Program Policy 20170221-Rev0
The Industry Standard Since 1980. | A member of the ICC Family of Companies*

1. PURPOSE

This policy is to provide requirements for the selection, vetting, monitoring and approval of external inspectors conducting inspections and other surveillance for ICC-SRCC certification programs under the ICC-SRCC Inspection Provider Program. The policy is designed to be conducted in compliance with *ISO/IEC 17065 Section 6.2*, and the *Global Solar Certification Network Working Rules*, where applicable.

2. SCOPE

This policy shall apply to all external resources utilized by ICC-SRCC for the conduct of facility and field inspections for the purpose of ensuring compliance with ICC-SRCC certification programs in accordance with the Inspection Provider Program and the *ICC-SRCC Certification Surveillance Procedures*.

3. REFERENCES

- *GSCN Working Rules*
- *ICC-SRCC Impartiality Policy*
- *ICC-SRCC Confidentiality Policy*
- *ICC-SRCC OG-100 Operating Guideines for Certifying Solar Collectors*
- *ICC-SRCC OG-300 Operating Guidelines for Certifying Solar Water Heating Systems*
- *ICC-SRCC Small and Medium Wind Turbine Guidelines*
- *ICC-SRCC Quality Manual*
- *ICC-SRCC Solar Heating & Cooling Listing Program Guidelines*
- *ICC-SRCC Certification Surveillance Procedures*
- *ISO 17000, Conformity assessment – Vocabulary and general principles.*
- *ISO/IEC 17020, Conformity assessment — Requirements for the operation of various types of bodies performing inspection*
- *ISO/IEC 17065, Conformity assessment — Requirements for bodies certifying products, processes and services*

4. GENERAL REQUIREMENTS

4.1 Contractual Requirements (6.2.2.3)

Third-party agencies that perform inspections or other surveillance activities under the ICC-SRCC Inspection Provider Program (“inspection provider”) on behalf of ICC-SRCC shall have a contractual relationship with ICC-SRCC.

4.1.1 Impartiality

Contracts with third-party inspection providers shall require all surveillance activities undertaken on behalf of ICC-SRCC to be conducted in accordance with the requirements of the *ICC-SRCC Impartiality Policy*. Inspectors shall be required to disclose any potential conflicts of interest with the organization to be inspected prior to the conduct of the inspection. Inspectors conducting certification surveillance activities for ICC-SRCC programs shall not be involved in any activities, either directly or indirectly, or through any other employer, in such a way that the credibility of the results could be compromised.

©2017 Solar Rating & Certification Corp™

4.1.2 Confidentiality

Contracts with inspection providers shall require all surveillance activities undertaken on behalf of ICC-SRCC to be conducted in accordance with the requirements of the *ICC-SRCC Confidentiality Policy*. Confidentiality of information associated with and derived from certification surveillance activities shall be maintained in accordance with the *ICC-SRCC Confidentiality Policy*.

4.2 Accreditation (6.2.2.1)

Inspection providers that perform inspections or other surveillance activities on behalf of ICC-SRCC shall be accredited by a signatory to the ILAC MRA as meeting the provisions of ISO/IEC Standard 17020. ICC-SRCC shall periodically confirm the accreditation status of the inspection provider.

4.3 Inspector Assignment (6.2.2.4)

The decision whether to assign ICC-SRCC staff or external inspection providers for the conduct of certification surveillance activities shall be the sole discretion of ICC-SRCC. External inspection providers shall notify ICC-SRCC of all personnel they propose to assign to each surveillance activity for which ICC-SRCC has requested their contracting services prior to the start. ICC-SRCC shall inform the participant when an external inspection provider is assigned to any surveillance activity, prior to the conduct of the surveillance, in order to provide the participant with an opportunity to object. ICC-SRCC may, at its discretion, request different personnel be assigned or may assign a different inspection provider in order to ensure confidence in the program is maintained.

4.4 Inspection Fees

Fees to be paid by participants for inspections shall be quoted and agreed to prior to scheduling the inspection. External inspection provider fees and travel expenses shall be billed to ICC-SRCC, and shall not be divulged to the participant.

4.5 Inspection Forms (6.2.2.2)

Inspection providers shall report the results of inspections for ICC-SRCC Certification Programs using the *ICC-SRCC Initial Inspection Report*, *ICC-SRCC Surveillance Inspection Report*, or *GSCN Inspection Report (GSCN Working Rules, Annex B2)* as designated by the *ICC-SRCC Certification Surveillance Policy* and the ICC-SRCC Technical Director.

4.6 ICC-SRCC Inspection Provider List (6.2.2.4(d))

A current list of inspection providers approved under the ICC-SRCC Inspector Provider Program shall be posted to the ICC-SRCC website. The list shall indicate the ICC-SRCC certification programs for which the inspection provider is approved.

4.7 Monitoring of Personnel. (6.2.2.4)

ICC-SRCC shall provide for the monitoring of all personnel and agencies conducting surveillance and inspections to ensure that all ICC-SRCC policies and procedures and Inspection Provider Program requirements are observed. Such monitoring shall be done by ICC-SRCC or through arrangements with a qualified third party, and shall occur at

least once every five years for ICC-SRCC staff inspectors and for each third-party inspection agency.

5 APPLICATION FOR ICC-SRCC INSPECTION PROVIDER PROGRAM

5.1 Application Submission

External inspection providers seeking to participate in the ICC-SRCC Inspection Provider Program shall submit the complete the application contained in Appendix A of this document and provide the following information to ICC-SRCC as required to establish applicable technical competence and conformance with the requirements of this policy:

- Proof of accreditation to ISO/IEC 17020,
- Copy of liability insurance in the amount of \$1,000,000,
- Evidence of technical competence as appropriate for the ICC-SRCC certification program(s) for which inspection will be provided, and
- Examples of past inspection activities for applicable technologies.

5.2 Application Review

The ICC-SRCC Technical Director shall review all information submitted by an applicant for approval as an ICC-SRCC Inspection Provider, and shall assess the inspection provider based on the following criteria:

- The inspection provider is ISO/IEC 17020 accredited and in good standing.
- The inspection provider is independent of manufacturers of the products for which inspection services are to be provided. Any association such as being owned partly or in full, associated to, or an entity of another organization may indicate a conflict of interest.
- The inspection provider commits itself to conduct inspection activities in a manner that complies with ICC-SRCC's policies and procedures as well as in accordance to ICC-SRCC certification program requirements.
- The inspection provider has the capability to conduct the surveillance for which it is applying, and provides evidence of technical competence for the ICC-SRCC certification program approval sought.
- Efficacy of policies and procedures implemented for the assessment and monitoring of personnel engaged in inspection activities.

The ICC-SRCC Technical Director shall come to a final conclusion within 30 days of the receipt of a complete application and shall notify the applicant of the decision. Where applicants are approved to participate in the ICC-SRCC Inspector Approval Program, the contractual agreement specified above shall be executed and the provider shall be added to the current list of approved ICC-SRCC Inspection Providers. Approval may be

granted for any number of current ICC-SRCC Certification Programs, depending on the request and expertise of the applicant.

5.3 Reapplication

An inspection agency may reapply for the ICC-SRCC Inspector Provider Program where an application has been rejected or denied, or where an application has been withdrawn.

5.4 GSCN Inspection Body Applicants (GSCN 6)

Inspection providers who are recognized by the Global Solar Certification Network (GSCN) as an Inspection Body, shall so indicate on the ICC-SRCC Application Form. ICC-SRCC shall confirm the GSCN recognition as an Inspection Body.

5.5 Fees and Charges

The ICC-SRCC Executive Director shall establish and regulate all fees and charges related to the Inspector Approval Program, which may be modified from time to time as appropriate. In order to be processed and reviewed, an application must be accompanied by the complete payment of all application fees and charges. Application fees and charges are not refundable.

6 APPROVAL CONDITIONS AND MAINTENANCE

6.1 Evidence of Approval

Current participation in the ICC-SRCC Inspection Provider Program shall be evidenced by inclusion in the list of ICC-SRCC Approved Inspectors List posted on the ICC-SRCC website.

6.2 Accreditation and Insurance Maintenance

Participation in the ICC-SRCC Inspection Provider Program shall terminate in the event that the inspection provider's ISO/IEC Standard 17020 accreditation and/or required liability insurance coverage expires or is otherwise terminated.

6.3 Compliance with Legal Requirements

An approved participant in the ICC-SRCC Inspection Provider Program shall satisfy all local, state, and federal legal requirements pertaining to the operation and administration of such services and other certification surveillance activities.

6.4 Use of Authorized ICC-SRCC Marks

An authorized ICC-SRCC mark and/or logo may be used by an approved ICC-SRCC Inspection Provider, as long as all current fees and charges owed by the inspection provider have been paid when due, and participation in the ICC-SRCC Inspection Provider Program has not been revoked, suspended or terminated by ICC-SRCC, and all terms of this Policy are met.

7 ANNUAL PROGRAM RENEWAL

ICC-SRCC Inspection Provider Program participants are required to apply for renewal annually. Renewal may be granted by ICC-SRCC Technical Director if the inspection provider continues to satisfy all of the requirements and conditions of approval set forth in this Policy, and otherwise directed by ICC-SRCC. Inspection providers applying for renewal shall submit the following to ICC-SRCC along with an application for renewal:

- Evidence of renewal of its accreditation to ISO/IEC Standard 17020,
- Copy of proof of liability insurance.
- A fully executed agreement complying with this policy between the inspection provider and ICC-SRCC.
- Payment of ICC-SRCC Inspection Provider Program fees and charges.

8 VOLUNTARY WITHDRAWAL FROM ICC-SRCC INSPECTION PROVIDER PROGRAM

An inspection provider may voluntarily withdraw from the ICC-SRCC Inspection Provider Program by providing written notice of its intent to ICC-SRCC. The notice shall state the effective termination date and the reasons for the termination. Any fees and charges paid by a inspection provider are non-refundable in the event of a voluntary withdrawal from the program.

9 DEFICIENCY AND RESOLUTION

9.1 Notice of Deficiency and Resolution Process

In the event that an inspection provider within the ICC-SRCC Inspection Provider Program, violates or otherwise does not comply with, the provisions of this Policy or other ICC-SRCC requirements, the Technical Director shall issue a Notice of Deficiency and Violation (Notice) to the inspection provider. Upon receipt of such Notice, the inspection provider shall:

- respond to each identified deficiency and/or violation;
- provide all relevant information and materials; and,
- otherwise satisfy all requirements set forth in the Notice.

Following the timely submission of such response to the Notice, all deficiency and violation matters shall be resolved pursuant to the ICC-SRCC Complaint Policy (Appeal and this Policy).

9.2 Failure to Respond

In the event that the inspection provider does not provide a timely and complete response to a Notice, the Technical Director may issue any sanction(s) or corrective action(s) authorized by this Policy, the Complaint Policy, or other applicable ICC-SRCC Policy. The inspection provider shall comply fully with all sanctions and/or corrective actions issued by the Technical Director.

9.3 Grounds for Sanction and Corrective Actions

The Technical Director may issue sanctions and/or corrective actions to inspection providers under the following circumstances:

- An application submitted to ICC-SRCC contains a material misrepresentation;
- An inspection provider makes a public misrepresentation concerning its activities, operations, or a tested product;
- An inspection provider fails to comply with a condition of the ICC-SRCC Inspection Provider Program;
- An inspection provider violates an ICC-SRCC policy and their agreement with ICC-SRCC;
- An inspection provider fails to remit required fees and charges to ICC-SRCC consistent with the terms; or,
- Where other good and reasonable cause exists and supports the issuance of sanctions or corrective actions.

9.4 Deficiency and Violation Decision

Based on the information available, the Technical Director, shall determine whether a deficiency or violation exists, or dismiss the Notice. Upon the finding of any deficiency or violation, the Technical Director shall review the record, determine the severity of such deficiency(ies) or violation(s), and issue a Deficiency/Violation Decision. The Technical Director may issue one or more of the following actions:

- Private or public reprimand.
- Corrective actions to remedy the deficiency or violation.
- Approval suspension. The term of a suspension shall be in six (6) month increments, as determined by the Technical Director.
- Approval revocation. After revocation of approval by SRCC, a inspection provider may reapply to the ICC-SRCC Inspection Provider Program after two (2) years following the date of the revocation.

9.5 Deficiency and Violation Decision Appeals

An inspection provider may appeal an adverse Deficiency Violation Decision, or any part thereof, to ICC-SRCC, pursuant to the terms of the *ICC-SRCC Complain Policy*.

9.6 Reinstatement and Reapplication Procedures

9.6.1 Suspension/Reinstatement

Following the expiration of a suspension decision issued under this Policy, the Technical Director shall determine whether the inspection provider has satisfied the terms of the suspension, including any related conditions. If the inspection provider has satisfied the terms of the suspension in full, the Technical Director shall verify that the suspension has been completed and reinstate the laboratory to active status. If the laboratory has not satisfied the terms of the suspension in full, the Technical Director shall notify the inspection provider of the failure to satisfy the terms of the suspension and may continue the suspension, and/or issue additional remedial actions concerning the suspension terms.

©2017 Solar Rating & Certification Corp™

ICC-SRCC™ Inspection Provider Program Policy 20170221-Rev0
The Industry Standard Since 1980. | A member of the ICC Family of Companies

9.6.2 Revocation/Reapplication

Two (2) years after the issuance of a termination issued under this Policy, the laboratory may reapply for the ICC-SRCC Inspection Provider Program. The application shall include a statement of the reasons that the inspection provider believes support or justify the acceptance of the reapplication.

Appendix A: ICC-SRCC Application for Inspection Provider Program Approval

APPLICANT INFORMATION		
Submit the completed application to: apply@solar-rating.org		
Applicant (Company Name):		
Mailing Address:		
City:	State:	ZIP Code:
Phone:	Website:	
New Application: <input type="checkbox"/>	Renewal: <input type="checkbox"/>	Reinstatement: <input type="checkbox"/>
Inspection Program Manager:		
Contact person:		Title:
Contact address:		
City:	State:	ZIP Code:
Phone:	E-mail:	

ACCREDITATION AND RECOGNITION INFORMATION	
Name of Authorized ISO/IEC 17020 Accreditation Body:	

Date of ISO/IEC 17020 Accreditation:	
Date of ISO/IEC 17020 Accreditation Expiration:	
Please provide the following documents with this Application:	
<input type="checkbox"/> Copy of current ISO/IEC 17020 Accreditation Certificate <input type="checkbox"/> Proof of liability insurance in the amount of \$1,000,000 or more. <input type="checkbox"/> Resumes of Inspectors <input type="checkbox"/> Copy of Proof of Liability Insurance or documentation of self-insurance	
Check other program recognitions and approvals:	
Solar Keymark	Date:
Global Solar Certification Network	Date:
Other	

SCOPE OF INSPECTION APPROVAL REQUESTED
<input type="checkbox"/> ICC-SRCC OG-100 Solar Thermal Collector Certification Program
<input type="checkbox"/> ICC-SRCC OG-300 Solar Thermal System Certification Program
<input type="checkbox"/> ICC-SRCC ENERGY STAR Residential Water Heater – Solar Water Heater Certification Program
<input type="checkbox"/> ICC-SRCC Solar Heating and Cooling Codes and Standards Listing Program

SUBJECT MATTER COMPETENCY

(New Application and Reinstatement Only)

Provide evidence of technical competence as appropriate for the ICC-SRCC certification program(s) selected above:

Describe policies and procedures implemented for the assessment and monitoring of personnel engaged in inspection activities:

Provide examples of past inspection activities for relevant technologies:

AUTHORIZED SIGNATURES

By signing, the applicant represents and agrees that all the information presented in the above application is true and correct, and agrees to abide by all ICC-SRCC policies, including the *ICC-SRCC Inspection Provider Policy*.

Inspection Program Manager (Print Name):

Title:

Signature:

Date: